

PRINTER RUSH

(PTO ASSISTANCE)

Application : 09/516,792 Examiner : Karmis GAU : 3624
From : MR Location : IDC FMF FDC Date : 12-17-05
Tracking # : EP109516792 Week Date : 12-12-05

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<input type="checkbox"/> 1449		<input type="checkbox"/> Continuing Data
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<input type="checkbox"/> DRW		
<input type="checkbox"/> OATH		
<input type="checkbox"/> 312		
<input checked="" type="checkbox"/> SPEC	<u>03-01-00</u>	

[RUSH] MESSAGE: Blank line on specification page 4, line
14. US application number is missing.
Please resolve.

Thank you,
MR

[XRUSH] RESPONSE: _____

See misc comm

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From: **Bradley J. Meier** Date **February 2, 2006**
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Regarding: **U.S. Patent Appl'n No. ⁰⁹10/516,792**

RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

Ms. Burch:

In accordance with your instructions in the Notice To File Corrected Application Papers mailed January 3, 2006 (transmitted herewith), please note that the missing serial number in the specification (page 4, line 14) is:

09/516,787

Please contact me if you have any further questions or problems. Thanks.

Certificate of Transmission under 37 CFR 1.8

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/516,792	03/01/2000	Steven H. M. Walzman	10392/46701	2856
26646	7590	01/03/2006	EXAMINER	
KENYON & KENYON			KARMIS, STEFANOS	
ONE BROADWAY			ART UNIT	
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3624

DATE MAILED: 01/03/2006

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Serial Number
09516792

Date Mailed
1/26/06

NOTICE TO FILE CORRECTED APPLICATION PAPERS***Notice of Allowance Mailed***

This application has been accorded an Allowance Date and is being prepared for issuance. The application, however, is incomplete for the reasons below.

Applicant is given 30 days from the mail date of this Notice within which to correct the informalities indicated below. A failure to reply will result in the application being ABANDONED. This period for reply is NOT extendable under 37 CFR 1.136 (a) or (b).

- Specification page 4, lines 14 serial number missing. Fax missing information to number below or e-mail.
 - For status updates visit <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR System, contact the Electronic Business Center (EBC) toll free at 866-217-9197.

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A handwritten signature in black ink, appearing to read "Rori Burch", written over a horizontal line.

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Third, the traditional method requires investors to trade in share amounts, rather than dollar amounts. Normally, an investor places a market order by specifying a number of shares that the investor wishes to buy or sell and entrusting the brokerage to obtain the best execution within a short time-frame. The investor using a market order can approximate the dollar amount involved in the transaction only by multiplying the number of shares specified by the price at which the investor believes the trade will be executed. Typically, however, the investor has only a rough idea of what the execution price will be. The investor has a somewhat better idea of what the maximum or minimum dollar amount of a purchase or sale will be if the investor places a limit order. Even under a limit order, however, the investor will not know the dollar amount of the trade until the trade is executed.

Some of these problems can be solved through a method and apparatus that allows investors to express orders in either share or value-based terms and then aggregates and nets those orders. U.S. Patent Application No. 09/516,787 filed concurrently herewith by the same inventor discloses a method and apparatus for enabling investors to express and submit trading orders in the form of share-based and dollar-based (or value-based) orders, which application is hereby incorporated by reference as if repeated herein in its entirety, including the drawings.

Receiving trading orders at the brokerage in dollar-based or share-based orders presents new challenges, however. If some customers express orders in share amounts and some customers express orders in dollar amounts, there is currently no way to execute the order that provides customers with the same price regardless whether they